

04/30/01  
36772 U.S. PTO

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April 30, 2001

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Commissioner for Patents  
Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. To be assigned; Filed: HERewith  
For: **Timing Recovery and Phase Tracking System and Method**  
Inventors: Buchwald *et al.*  
Our Ref: 1875.0560002/RES/AJF

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
2. U.S. Utility Patent Application entitled:

**Timing Recovery and Phase Tracking System and Method**

and naming as inventors:

Aaron W. BUCHWALD  
Myles WAKAYAMA  
Michael LE  
Jurgen VAN ENGELN  
Xicheng JIANG  
Hui WANG

Commissioner for Patents  
April 30, 2001  
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Howard W. BAUMER  
Avanindra MADISETTI

the application comprising:

- a. specification containing:
    - i. 65 pages of description prior to the claims;
    - ii. 7 pages of claims ( 26 claims);
    - iii. a one (1) page abstract;
  - b. 38 sheets of drawings: (Figures: 1,-3, 4A, 4B, 4C, 4D, 4E, 5A, 5B, 5C, 6A, 6B, 6C, 7, 7A, 8-13, 14A, 14B, 15, 15A, 15B, 16A, 16B, 16C, 17, 18, 18A, 19-20, 20A, 20B, 20C, 20D, and 21-33 ); and
  - c. an Application Data Sheet (37 C.F.R. § 1.76);
3. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (*in duplicate*); and
  4. Two (2) return postcards.

Correspondence should be sent to Customer Number 26111.

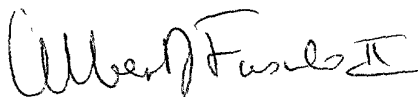
It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents  
April 30, 2001  
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This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Albert J. Fasulo, II  
Attorney for Applicants  
Registration No. 43,607

RES/AJF:vrh  
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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 1875.0560002/RES/AJF                                 |
| First Inventor         | Aaron W. Buchwald, et al.                            |
| Title                  | Timing Recovery and Phase Tracking System and Method |
| Express Mail Label No. |  |

|  |   |
|--|---|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents.  | <b>ADDRESS TO:</b><br>Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231  |
| 1. <input type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original, and a duplicate for fee processing)   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program<br>(Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)   |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>73</u> ]<br>(preferred arrangement set forth below)<br>- Descriptive title of the Invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table,<br>or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies   |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>38</u> ]  | <b>ACCOMPANYING APPLICATION PARTS</b>   |
| 5. Oath or Declaration [Total Pages _____]<br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br>(for continuation/divisional with Box 18 completed)<br>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br>Signed statement attached deleting inventor(s)<br>named in the prior application, see 37 CFR §§<br>1.63(d)(2) and 1.33(b).   | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br>(when there is an assignee)<br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS<br>Citations<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Two Return Receipt Postcards (MPEP 503)<br>(Should be specifically itemized)<br>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)<br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach<br>form PTO/SB/35 or its equivalent.<br>17. <input checked="" type="checkbox"/> Other: <u>Authorization under 37 C.F.R. § 1.136(a)(3)</u><br><input type="checkbox"/> Other: <u>The name of the assignee is:</u> |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,<br>or in an Application Data Sheet under 37 CFR 1.76:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-Part (CIP) of prior application No: _____/<br>Prior application information: Examiner _____ Group/Art Unit: _____   |   |
| For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is<br>considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only<br>relied upon when a portion has been inadvertently omitted from the submitted application parts.  |   |

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| NAME  | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. 26111 |           |   |          |  |
|   | Attorneys at Law PATENT, TRADEMARK OFFICE       |           |   |          |  |
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| COUNTRY   |   | TELEPHONE |   | FAX      |  |

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|-------------------|----------------------------|-----------------------------------|----------------|
| NAME (Print/Type) | Albert J. Fasulo, II       | Registration No. (Attorney/Agent) | 43,607         |
| SIGNATURE         | <u>Albert J. Fasulo II</u> | Date                              | <u>4/30/01</u> |

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